


PTO/SB/21 (04-04)

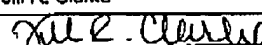
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| | | | |
|---|----|------------------------|------------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application Number | 10/764,330 |
| | | Filing Date | 01/23/2004 |
| | | First Named Inventor | Michael P. Cooke |
| | | Art Unit | 1645 |
| | | Examiner Name | |
| Total Number of Pages In This Submission | 12 | Attorney Docket Number | P1097US10 |

| ENCLOSURES (check all that apply) | | |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Executed Form PTO/SB/81 Power of Attorney and Correspondence Address Indication Form (1 pg.); 2. Copy of Power of Attorney from IRM LLC to Timothy L. Smith (1 pg.); 3. One executed Statement Under 37 CFR 3.73(b) (1 pg.); 4. Copy of executed Inventor Assignment to IRM LLC (7 pgs.); and 5. Fax Cover Sheet with Certificate of Transmission under 37 CFR 1.8 (1 pg.). |
| Remarks: The Director is authorized to charge any additional fees to Deposit Account No. 50-1885. Customer No. 29490 | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | Hugh Wang, J.D., Ph.D., Registration No.: 47,163 |
| Signature |  |
| Date | October 5, 2004 |

| CERTIFICATE OF TRANSMISSION/MAILING | | | |
|---|---|------|-----------------|
| I hereby certify that this correspondence for U.S. Patent Application No. 10/764,330, filed January 23, 2004 in re Michael P. Cooke, et al. is being facsimile transmitted to the United States Patent and Trademark Office at facsimile number (703) 872-9306 on the date shown below. | | | |
| Typed or printed name | Jill R. Clarke | Date | October 5, 2004 |
| Signature |  | | |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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GNF Docket No.: P1097US10
Confirmation No.: 5772

OCT 05 2004

PTO/SB/97 (08-03)

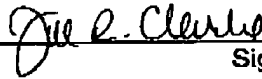
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Date



Signature

Jill R. Clarke

Typed or printed name of person signing Certificate

Customer No. 29490
Genomics Institute of the Novartis Research Foundation
Telephone: 858-812-1856
Fax: 858-812-1981

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

Attachments:

1. Form PTO/SB/21 Transmittal Form (1 pg.);
2. Form PTO/SB/81 Power of Attorney and Correspondence Address Indication Form (1 pg.);
3. Copy of Power of Attorney from IRM LLC to Timothy L. Smith (1 pg.);
4. One executed Statement Under 37 CFR 3.73(b) (1 pg.);
5. Copy of executed inventor Assignment to IRM LLC (7 pgs.); and
6. Fax Cover Sheet with Certificate of Transmission under 37 CFR 1.8 (1 pg.).

Total pages (including this paper): 12

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**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

| | |
|------------------------|---|
| Application Number | 10/764,330 |
| Filing Date | 01/23/2004 |
| First Named Inventor | Michael P. Cooke |
| Title | Methods and Compositions for Modulating T Lymphocytes |
| Art Unit | 1645 |
| Examiner Name | |
| Attorney Docket Number | P1097US10 |

I hereby appoint:

☒ Practitioners associated with the Customer Number:

29490

OR

☐ Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
| | |
| | |
| | |
| | |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number.

OR

☐ The address associated with Customer Number:

OR

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Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

| | | | |
|-------------------|---|-----------|-----------------|
| Signature |  | Date | October 5, 2004 |
| Name | Timothy L. Smith, J.D., Ph.D. | Telephone | 858-812-1547 |
| Title and Company | Power of Attorney on behalf of IRM LLC | | |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ *Total of 10 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Docket No.: P1097US10

PTO/SB/96 (08-03)

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Michael P. CookeApplication No./Patent No.: 10/784,330Filed/Issue Date: 01/23/2004Entitled: Methods and Compositions for Modulating T LymphocytesIRM LLCa corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest or
2. ☐ an assignee of less than the entire right, title, and interest

The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE:] A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

October 5, 2004

Date

858-812-1547

Telephone Number

Timothy L. Smith

Typed or printed name



Signature

Power of Attorney on behalf of IRM LLC

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

POWER OF ATTORNEY

COPY

KNOW ALL PERSONS BY THESE PRESENTS:

That IRM LLC, a limited liability company organized under the laws of Delaware ("IRM"), does hereby make, constitute and appoint TIMOTHY L. SMITH, Reg. No. 35,367, of the GENOMICS INSTITUTE OF THE NOVARTIS RESEARCH FOUNDATION ("GNF"), dba the NOVARTIS INSTITUTE FOR FUNCTIONAL GENOMICS, Inc. ("NIFG"), 10675 John Jay Hopkins Drive, Suite E225, San Diego, CA 92121, its true and lawful attorney, for it and in its name, place and stead, with full power of substitution to represent and act for it in all matters pertaining to the filing and prosecution of patent applications in the United States and internationally, and in general to do all things and to perform on the part of IRM all acts as such attorney determines are necessary or advisable, including, without limitation, the appointment of attorneys to file and prosecute a patent application, signing a reply to an Office action, requesting a continued prosecution application, acquiescing to express abandonment of an application, signing of a terminal disclaimer, consenting to the filing of a reissue application, consenting to correction of inventorship, signing an issue fee transmittal, and signing all other documents, agreements, assignments, and instruments required, contemplated by or deemed advisable in connection with this Power of Attorney, and otherwise to act for and in the name of IRM and in its behalf with respect to the transactions described herein fully as if the duly authorized officers of IRM were then personally present and acting.

IRM hereby ratifies and confirms all that said attorneys or their substitutes shall lawfully do, or cause to be done, by virtue hereof.

IN WITNESS WHEREOF, IRM has caused this Power of Attorney to be signed by its officer thereunto duly authorized this 15 day of ~~March~~^{April}, 2003

IRM LLC

By: B. Aebischer J. Reinhardt

Name : B. Aebischer

J. Reinhardt

Title: Secretary

President

Docket No. P1097US10
Application No. 10/764,330

ASSIGNMENT**COPY**

In return for good and valuable consideration paid to the undersigned inventor(s) (hereafter called the "ASSIGNOR"), by:

IRM, LLC.
c/o Sofia House
48 Church Street
Hamilton HM LX, Bermuda

(hereinafter ASSIGNEE), the receipt of which is hereby acknowledged, the undersigned ASSIGNOR(s) hereby sells, assigns and transfers to ASSIGNEE his entire right, title and interest to the invention entitled:

COMPOUNDS AND COMPOSITIONS AS PROTEIN KINASE INHIBITORS

For which application for Letters Patent of the United States was filed on January 23, 2004 as Application No. 10/764,330 and all Letters Patent of the United States to be obtained therefor on said application or any continuation, divisional, substitute, reissue or reexamination, or foreign counterpart thereof for the full term or terms for which the same may be granted.

The ASSIGNOR(s) agrees to execute all papers necessary in connection with the application and any continuation, divisional, substitute, reissue or reexamination applications thereof or corresponding foreign applications, and also to execute separate assignments in connection with such applications as the ASSIGNEE may deem necessary or expedient and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

The ASSIGNOR(s) agrees to execute all papers necessary in connection with any interference, litigation, or other legal proceeding; which may be declared concerning this application or any continuation, divisional, substitute, reissue or reexamination thereof, or corresponding foreign applications, and also to cooperate with the ASSIGNEE in every way possible in obtaining evidence and going forward with such interference, litigation, or other legal proceeding.

The ASSIGNOR(s) agree to perform all affirmative acts which may be necessary to obtain a grant of valid United States or foreign patents to the Assignee.

The ASSIGNOR(s) hereby authorizes and requests the Commissioner of Patents and the authorities of foreign country to issue any and all Letters Patents resulting from said application or any continuation, divisional, substitute, reissue or reexamine applications thereof, or foreign applications, to the said ASSIGNEE, as assigned of the entire interest, and hereby covenants that it has full right to convey the entire interest herein assigned, and that they have not executed and will not execute, any agreement in conflict herewith.

Docket No. P1097US10
Application No. 10/764,330

The ASSIGNOR(s) hereby grant SCOTT W. REID. Reg. No. 48,097, HUGH WANG Reg. No. 47,163, TIMOTHY L. SMITH Reg. No. 35,367, and all other attorneys employed by The Genomics Institute of the Novartis Research Foundation, which has a business address of 10675 John Jay Hopkins Drive, San Diego, CA 92121, the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

WITNESS my hand at San Diego, CA, this 12th day
of July, 2004.


Michael P. Cooke

STATE OF CALIFORNIA)

)

ss.

COUNTY OF SAN DIEGO)

On July 12, 2004, before me, the undersigned Notary Public, personally appeared
Michael P. Cooke.

✓ personally known to me

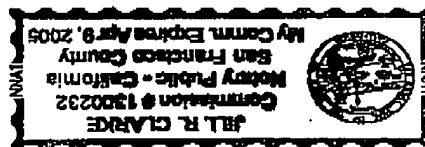
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 proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jul R. Clarke
Notary Public



Docket No. P1097US10
Application No. 10/764,330

WITNESS my hand at San Diego, California, this 27th day
of July, 2004.

Karsten Sauer
Karsten Sauer

STATE OF CALIFORNIA)

) ss.

COUNTY OF SAN DIEGO)

On July 27, 2004, before me, the undersigned Notary Public, personally appeared
Karsten Sauer.

✓ personally known to me

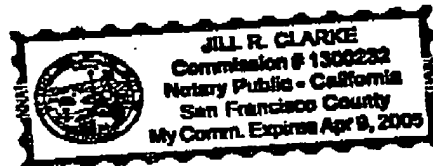
or

 proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he
executed the same in his authorized capacity, and that by his signature on the instrument the person, or
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke
Notary Public



Docket No. P1097US10
Application No. 10/764,330

WITNESS my hand at SAN Diego CA, this 16th day
of July, 2004.

T. Wiltshire
Tim Wiltshire

STATE OF CALIFORNIA)

) ss.

COUNTY OF SAN DIEGO)

On July 16, 2004, before me, the undersigned Notary Public, personally appeared Tim Wiltshire.

✓ personally known to me

or

 proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke
Notary Public



Docket No. P1097US10
Application No. 10/764,330

WITNESS my hand at San Diego, this 14th day
of July, 2004.
Lisa M. Tarantino
Lisa Tarantino

STATE OF CALIFORNIA)

ss.

COUNTY OF SAN DIEGO)

On July 14, 2004, before me, the undersigned Notary Public, personally appeared Lisa
Tarantino.

✓ personally known to me

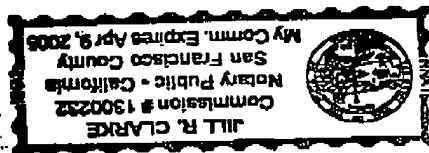
or

 proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he
executed the same in his authorized capacity, and that by his signature on the instrument the person, or
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke
Notary Public



Docket No. P1097US10
Application No. 10/764,330

WITNESS my hand at San Diego, CA, this 13 day
of July, 2004.

Colin Fletcher
Colin Fletcher

STATE OF CALIFORNIA)

) ss.

COUNTY OF SAN DIEGO)

On July 13, 2004, before me, the undersigned Notary Public, personally appeared Colin Fletcher.

✓ personally known to me

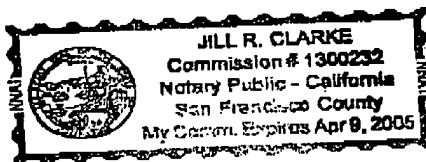
or

 proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke
Notary Public



Docket No. P1097US10
Application No. 10/764,330

WITNESS my hand at San Diego, CA, this 12th day
of July, 2004.

Ben Wen
Ben Wen

STATE OF CALIFORNIA)

) ss.

COUNTY OF SAN DIEGO)

On July 12th, 2004, before me, the undersigned Notary Public, personally appeared Ben
Wen.

✓ personally known to me

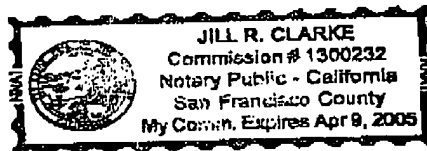
or

 proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he
executed the same in his authorized capacity, and that by his signature on the instrument the person, or
the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke
Notary Public



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